



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Attorney Docket No.: 027756-0101

In re patent application of

Arthur Willard CHAFFEE

Group Art Unit: Unassigned

Serial No.: 09/410,825

Examiner: Unassigned

Filed: October 1, 1999

For: INVESTMENT PORTFOLIO TRACKING SYSTEM AND METHOD

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INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. § 1.56 AND 37 C.F.R. § 1.97

Assistant Commissioner for Patents
Washington, D.C. 20231

Assistant Commissioner:

Submitted herewith on a modified Form PTO-1449 is a listing of documents known to applicant in order to comply with applicant's duty of disclosure pursuant to 37 C.F.R. § 1.56. A copy of the listed documents are being submitted to comply with the provisions of 37 C.F.R. §§ 1.97-1.98.

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application or that such document is considered material to patentability as defined in 37 C.F.R. § 1.56(b). Applicant does not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a *prima facie* prior art reference against the claims of the present application.

TIMING OF THE DISCLOSURE

The instant Information Disclosure Statement is being filed before the mailing date of a first action under the provisions of 37 C.F.R. § 1.97(b)(3). In the alternative, the instant Information Disclosure Statement is being filed under the provisions of 37 C.F.R. § 1.97(c)(1).

Serial No. 09/410,825

The examiner is advised that U.S. Patent No. 5,245,535 is being submitted without its Appendix, which is over 1082 pages long.

Applicant respectfully requests that any listed document be considered by the Examiner and be made of record in the present application and that an initialed copy of Form PTO-1449 be returned in accordance with M.P.E.P. § 609.

Respectfully submitted,

Jan. 7, 2000
Date

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